

14:28:57

OCA PAD INITIATION - PROJECT HEADER INFORMATION

12/21/88

Active

Project #: D-48-637 Cost share #: Rev #: 0  
 Center # : R6656-OA0 Center shr #: OCA file #:  
 Contract#: MEMO DTD 12/5/88 Mod #: Work type : RES  
 Prime #: Document : OTH  
 Contract entity: GTRC

Subprojects ? : N  
 Main project #:

Project unit: ARCH COLL Unit code: 02.010.164  
 Project director(s):  
 ELLIOTT M L P ARCH COLL (404)894-2350  
 BOURNE R G ARCH COLL (404)-

Sponsor/division names: WILLIAM & FLORA HEWLETT FDN / MENLO PARK, CA  
 Sponsor/division codes: 500 / 085

Award period: 890101 to 891231 (performance) 891231 (reports)

Sponsor amount	New this change	Total to date
Contract value	25,000.00	25,000.00
Funded	25,000.00	25,000.00
Cost sharing amount		0.00

Does subcontracting plan apply ? : N

Title: AN INTER-UNIVERSITY CONSORTIUM ON MULTI-PARTY CONFLICT, INTERIM FUNDING ...

PROJECT ADMINISTRATION DATA

OCA contact: Steven K. Watt 894-4820

Sponsor technical contact (000)000-0000

Sponsor issuing office  
 BOB BARTLETT  
 (415)329-1070  
 WILLIAM AND FLORA HEWLETT FOUNDATION  
 525 MIDDLEFIELD ROAD, SUITE 200  
 MENLO PARK, CA 94025

Security class (U,C,S,TS) : U ONR resident rep. is ACO (Y/N): N  
 Defense priority rating : N/A N/A supplemental sheet  
 Equipment title vests with: Sponsor GIT  
 NONE PROPOSED NONE PROPOSED

Administrative comments -  
 PROJECT INITIATION.



GEORGIA INSTITUTE OF TECHNOLOGY  
OFFICE OF CONTRACT ADMINISTRATION

NOTICE OF PROJECT CLOSEOUT

Closeout Notice Date 04/30/90

Project No. D-48-637 \_\_\_\_\_ Center No. R6656-OA0 \_\_\_\_\_

Project Director ELLIOTT M L P \_\_\_\_\_ School/Lab ARCH COLL \_\_\_\_\_

Sponsor WILLIAM & FLORA HEWLETT FDN/MENLO PARK, CA \_\_\_\_\_

Contract/Grant No. MEMO DTD 12/5/88 \_\_\_\_\_ Contract Entity GTRC

Prime Contract No. \_\_\_\_\_

Title AN INTER-UNIVERSITY CONSORTIUM ON MULTI-PARTY CONFLICT, INTERIM FUNDING .

Effective Completion Date 900901 (Performance) 900901 (Reports)

Closeout Actions Required:	Y/N	Date Submitted
Final Invoice or Copy of Final Invoice	N	_____
Final Report of Inventions and/or Subcontracts	N	_____
Government Property Inventory & Related Certificate	N	_____
Classified Material Certificate	N	_____
Release and Assignment	N	_____
Other _____	N	_____

Comments \_\_\_\_\_

Subproject Under Main Project No. \_\_\_\_\_

Continues Project No. \_\_\_\_\_

Distribution Required:

Project Director	Y
Administrative Network Representative	Y
GTRI Accounting/Grants and Contracts	Y
Procurement/Supply Services	Y
Research Property Management	Y
Research Security Services	N
Reports Coordinator (OCA)	Y
GTRC	Y
Project File	Y
Other _____	N
	N

**PROPOSAL**  
**TO SUPPORT THE**  
**CONSORTIUM ON MULTI-PARTY CONFLICT**

presented to

The William and Flora Hewlett Foundation  
525 Middlefield Road, Suite 20  
Menlo Park, CA 94025-3495

from

Georgia Institute of Technology  
in conjunction with  
Georgia State University  
and  
University of Georgia

**December 15, 1989**

Principal Investigator

Michael Elliott  
Graduate City Planning Program  
College of Architecture  
Georgia Institute of Technology

Co-Principal Investigator

Gregory Bourne  
Graduate City Planning Program  
College of Architecture  
Georgia Institute of Technology

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## IX. Progress Report

The Consortium on Multi-Party Conflict has made significant strides since its development over two years ago. After initially canvassing each of the major regional universities and institutions, a core group of institutions interested in organizing the Consortium was identified. The Georgia Institute of Technology, University of Georgia and Georgia State University form the core membership of the Consortium. Faculty at Emory University have been involved to a lesser degree, but have a strong interest in the work of the Consortium, particularly in its educational initiatives. We have also had discussions with the Carter Center (affiliated with Emory University), the Justice Center of Atlanta, the American Arbitration Association and, more recently, faculty at Morehouse and Spellman Universities and anticipate increased involvement from faculty and members of these institutions.

The Consortium has been convening seminars for members of its Academic Council for over two years. Meetings have been held at least quarterly, rotating between the three primary universities. Meetings have primarily focused on topics of research being conducted by members of the Consortium. Since the Consortium received interim funding from the Hewlett Foundation (in December, 1988), the seminars have focused more specifically on the design and implementation of the Consortium's research program.

Progress of the Consortium to date can be measured in several ways. The commitment to the seminar is one indication of the interest of Consortium members. The Consortium has continued to grow in light of minimal funding and the labors of initiating a new program. In addition, using the interim Hewlett funding, two intra-

Consortium seed grants have been awarded to Consortium members for projects that are consistent with the Consortium's interest in the cultural dimensions of conflict and its resolution. The first grant supported production of an annotated bibliography on differences between Japanese and U.S. negotiation styles. This bibliography initiated research on potential dispute resolution provisions in U.S.-Japan trade agreements. The second grant supported research on quasi-collective bargaining amongst supervisory staff in the U.S. Postal Service.

Members of the Consortium are currently engaged in funded research projects that include examinations of 1) cultural influences on international negotiations, 2) quasi-collective bargaining in the postal service, 3) multilateral arms control negotiations, 4) conflicts in the Third World and their impact on U.S.-Soviet relations, 5) conflict management in urban development disputes, 6) international trade policy, and 7) international environmental law and policy. In addition, members are also engaged in a number of funded dispute resolution and training projects. These projects are more fully described below.

Several new dispute resolution courses have been started at participating universities. The library of videos and other teaching tools is expanding. New multi-party training exercises have been developed related to transportation disputes, and similar materials are being developed for growth management and historic preservation supported by a grant from the National Institute for Dispute Resolution. A proposal to fund a computer-assisted decision making laboratory and applications center (to be located at the Georgia Institute of Technology) is currently being considered by Department of Community Affairs of the State of Georgia.

More specifically, activities which indicate the progress of the Consortium, particularly since receiving the interim grant from the Hewlett Foundation in 1988, are described below.

#### **A. Organization and Administration**

During the past year, the composition of the Executive Committee has been clarified. The Committee will be comprised of the Executive Director, the three program directors and an at-large member of each institution. Therefore, each major institution will have two representatives on the Committee. If other universities (eg. Emory University, Morehouse College) eventually increase their participation within the Consortium, provisions will be made to include them on the Committee.

Efforts to identify new faculty at member institutions as well as other area universities have increased. We are looking for new members who could contribute to the work of the Consortium and benefit from such an association. This inclusive approach to participation should help strengthen institutional ties and broaden the areas of expertise available to the consortium. In addition to existing members specified in this proposal, seven new faculty with an interest in the Consortium have been identified. These faculty are located at the three primary institutions and at Spellman and Morehouse Colleges.

Since receipt of the interim grant, the Executive Committee has awarded two grants from seed money to support research initiatives. These were used to support the work of Kit Traub in preparing an annotated bibliography on the differences between Japanese and U.S. Negotiation styles and the work of Paul Swiercz on quasi-collective bargaining associated with supervisory unionism in the U.S. Postal Service. The

Executive Committee developed criteria to guide its decisions concerning use of seed money. The factors considered include:

- whether the research project involves other members of the Consortium and is consistent with the major research themes of the Consortium,
- if other members of the Consortium are not involved, whether the project is consistent with the major research themes of the Consortium,
- if neither 1 or 2 are satisfied, whether the project will advance the overall objectives of the Consortium,
- whether other awards have been previously made to the individual or program requesting the funds, and
- what percentage of the funds needed to complete the proposed project are requested, and what are the other probable sources of funding for the project.

As the Consortium is faced with increasing demands, these criteria are likely to be refined. Currently, however, they provide an objective basis for making decisions concerning funding from seed monies.

Since the original proposal was submitted to the Hewlett Foundation, Michael Jedel was moved from director of the Organizational Program to the Executive Committee. Paul Swiercz was named the Director of the Organizational Program. Michael and Paul are the representatives of Georgia State on the Executive Committee. Linda Brady was added as the at-large member of the Executive Committee from Georgia Tech. Linda Brady, Michael Elliott and Gregory Bourne are the Georgia Tech representatives on the Executive Committee. Louis Sohn remains the at-large member from the University of Georgia, joining Dorinda Dallmeyer (Director of the International Program) on the Executive Committee.

Finally, a questionnaire was developed by the Executive Committee and submitted to all faculty identified as interested in the work of the Consortium. This



survey was initiated to update knowledge of existing library resources, curricula and other educational resources as well as to clarify primary research interests of participants.

## **B. Research**

Several research initiatives are currently underway.

*a. Cultural Influences on International Negotiation.* In June 1989 Kit Traub completed a bibliography listing books, articles, and other media which examine differences between Japanese and U.S. negotiating styles. This 50-page annotated bibliography, available through the Consortium, will be used in preparation of the International Program's study of U.S.-Japan trade policy dispute resolution.

*b. Quasi-Collective Bargaining in the Postal Service.* Research on this project is in the process of being completed, leading to an article describing the changing nature of collective bargaining in the U.S. Postal Service. This work describes the public-private sector dichotomy of the Postal Service and has implications to future labor law reforms pertaining to collective bargaining.

*c. Arms Control Negotiations.* The opportunity for collaboration presented by the Consortium led to the participation of Linda Brady and Dorinda Dallmeyer in a roundtable discussion of "The Politics of Negotiation." This roundtable was organized by Linda Brady for the meeting of the International Security Studies section of the International Studies Association on November 5, 1988, in Washington, D.C. In addition to chairing the session, Linda Brady discussed U.S. defense logistical support negotiations, while Dorinda Dallmeyer discussed the politics of negotiating the INF Treaty. Additional research on multilateral arms control negotiations has emerged from this collaboration.

d. Conflicts in the Third World and Their Impact on U.S.-Soviet Relations. Dan Papp was awarded a grant from the U.S. Institute of Peace to compare and contrast the steps taken to resolve conflicts in Angola, Afghanistan, Cambodia and Nicaragua. The systematic identification of similarities and differences of those efforts will be analyzed to evaluate their impact on U.S.-Soviet relations. Furthermore, the results of this research will provide a greater understanding of cultural influences and conditions needed for success in conflict resolution.

e. Management of Conflict in Urban Development Policy. With support from the National Endowment of the Arts, Michael Elliott is conducting case study analyses of six cities: Atlanta, Baltimore, Boston, San Francisco, Savannah and Seattle. The study looks at the impact of increasing interrelationship between the various stakeholders in urban development and the consequent impact on conflict generation and management. The study explores the impact of new techniques of consensus building within the context of urban development policy.

f. International Trade Policy. The Rusk Center continues its research effort in international trade policy by means of conferences and books planned for the next two years. In early 1990 the Center will host a conference on the prospects for full integration of the European Economic Community in 1992. This conference will examine not only the process of negotiating consensus among EEC members but also the dispute resolution mechanisms put in place to resolve differences between members and non-members after 1992. In addition to the conference, the Monograph Series will publish Strategies for American Companies: How to Do Business in Europe after 1992.

Another forthcoming title in the Monograph Series is Doing Business in South Korea, in which the Korean and American contributors address not only the differences

in trade policy between the United States and Korea but also suggest ways of resolving these differences. This book is the result of two Rusk center conferences on this topic.

Japan-United States trade negotiations remain prominent in the Rusk Center's research plan. Japanese International Trade Law will be published by Tokyo University Press. This book represents yet another stage in the close collaboration between the Rusk Center and researchers in Japan.

With the assistance of the Canadian Consulate General in Atlanta, the Rusk Center is preparing a conference to evaluate the Canada-United States Free Trade Agreement. A part of that conference will be devoted to an examination of how well the dispute resolution provisions of the Free Trade Agreement are being implemented.

g. International Environmental Law and Policy. In 1989 the Dean Rusk Center established a program for international environmental law. This program is linked to The Center for International Environmental Law, a program of Kings College of London University. Its purpose is to contribute to the further development of the international law for the protection of the environment. This initiative provides a symbiotic relationship with the Consortium.

This program is designed to engage in research and policy development, assist outside researchers, provide the teaching of international and comparative environmental law, and assist governments, non-governmental organizations, international organizations, and the private sector in all aspects of the law of the international protection of the environment.

Of particular interest to the Consortium, the program will focus not only on the international legal aspects of substantive issues but also on the institutional aspects including the resolution of disputes and the equitable allocation of costs and benefits. In addition to a variety of other public service initiatives, the program will encourage and

examine the use of alternative dispute resolution techniques for conflicts involving international environmental law.

At the present time, funding for this program is being sought from government and private sector sources.

*h. Creation of the Decision and Innovation Support Center.* Several members of the Consortium have been active in establishing the Decision and Innovation Support Center at Georgia Tech. The Center is a network of technologies, tools and persons necessary to develop, refine and test computer assisted decision technologies, as well as to study the decision making and group problem solving process that result from their use. The Center will link researchers to computer hardware and software designed for consensus building and innovation support. The consensus building software will be the Plexsys System designed at the University of Arizona, while the innovation software will be the CyberQuest Innovation System designed at Virginia Tech. The systems will reside on networked IBM PS/2 systems.

Other ongoing and planned research initiatives have been more fully described in Section 4 on Research.

### **C. Education**

A variety of activities during the past year have embellished the educational resources and contributions of the Consortium. Gregory Bourne and Michael Elliott have trained over two hundred public and private sector decision-makers through a variety of courses related to negotiating and managing public conflicts. In conjunction with these workshops, multi-party training exercises have been developed. These will continue to be tested and refined. Currently, through a grant from National Institute for Dispute Resolution, Elliott and Bourne are developing case materials and training

exercises related to growth management and historic preservation. Initiatives are also being taken to develop a training video based on this same project.

In addition to these activities new courses have been developed at Georgia State and Georgia Tech relating dispute resolution to business and construction management issues. As the Consortium is strengthened by financial support, work will begin in earnest to identify a library of resources at each of the three institutions, as well as other area universities. The existing library of training materials and videos will be expanded to support the development of the specialization program, which is one of the primary educational objectives. Initial inquiries have been made to connect the Consortium with *ConflictNet* and other such computer linked resources which can assist Consortium members keep abreast of developments in the field.

The newsletter planned as a major outreach and educational tool will be developed during the first six months of the 1990 to publicize the existence, goals and objectives of the Consortium. This will inaugurate efforts to expand visibility and credibility of alternative dispute resolution in the Southeast, and the role of the Consortium in providing institutional and theoretical support for the use of affirmative conflict management techniques in the international, organizational and public policy sectors.

City Planning Program

College of Architecture  
**Georgia Institute of Technology**  
Atlanta, Georgia 30332-0155

(404) 894-2350

March 26, 1990

Robert Barrett  
The William and Flora Hewlett Foundation  
525 Middlefield Road  
Suite 200  
Menlo Park CA 94025-3495

Dear Bob:

Enclosed is a copy of the *Annual Progress Report*. The report describes the activities of the Consortium on Multi-Party Conflict. As you can see, the grant provided by the Hewlett Foundation has been instrumental in launching a wide variety of research and education initiatives. We very much appreciate your role in fostering the growth of the Consortium, both through your advice and through your financial support.

By now you should have received a financial report indicating the status of the \$25,000 Hewlett Foundation interim grant. As indicated in this report, \$7,850 remains in the grant. The funds are primarily earmarked for initiation of a Consortium-wide theory-building project. The project, designed to provide a unifying focus to the three programs of the Consortium, examines the impact of cross-cultural differences on conflict in trans-boundary disputes. Initiation of the project was deferred pending consideration of the full proposal by the Foundation in early 1990. Since the interim grant had a closing date of December 31, our contract officer has submitted a request for extension.

We look forward to your continued support for the work of the Consortium.

Sincerely,

  
Michael Elliott  
Principal Investigator

## **PROGRESS REPORT**

presented to

William and Flora Hewlett Foundation  
525 Middlefield Road  
Suite 200  
Menlo Park CA 94025

from

Consortium on Multi-Party Conflicts  
of the Georgia Institute of Technology,  
Georgia State University, and  
the University of Georgia

Michael Elliott, Principal Investigator  
Gregory Bourne, Co-Principal Investigator  
Georgia Institute of Technology  
Atlanta GA 30332-0155

**March 23, 1990**

## **A. Overview**

The Consortium on Multi-Party Conflict has made significant strides since its development over two years ago. After initially canvassing each of the major regional universities and institutions, a core group of institutions interested in organizing the Consortium was identified. The Georgia Institute of Technology, University of Georgia and Georgia State University form the core membership of the Consortium. Faculty at Emory University have been involved to a lesser degree, but have a strong interest in the work of the Consortium, particularly in its educational initiatives. We have also had discussions with the Carter Center (affiliated with Emory University), the Justice Center of Atlanta, the American Arbitration Association and, more recently, faculty at Morehouse and Spellman Universities and anticipate increased involvement from faculty and members of these institutions.

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Consortium seed grants have been awarded to Consortium members for projects that are consistent with the Consortium's interest in the cultural dimensions of conflict and its resolution. The first grant supported production of an annotated bibliography on differences between Japanese and U.S. negotiation styles. This bibliography initiated research on potential dispute resolution provisions in U.S.-Japan trade agreements. The second grant supported research on quasi-collective bargaining amongst supervisory staff in the U.S. Postal Service.

Members of the Consortium are currently engaged in funded research projects that include examinations of 1) cultural influences on international negotiations, 2) quasi-collective bargaining in the postal service, 3) multilateral arms control negotiations, 4) conflicts in the Third World and their impact on U.S.-Soviet relations, 5) conflict management in urban development disputes, 6) international trade policy, 7) international environmental law and policy, and 8) evaluation techniques for assessing success of complex public policy mediations. In addition, members are also engaged in a number of funded dispute resolution and training projects. These projects are more fully described below.

Several new dispute resolution courses have been started at participating universities. The library of videos and other teaching tools is expanding. New multi-party training exercises have been developed related to transportation disputes, and similar materials are being developed for growth management and historic preservation supported by a grant from the National Institute for Dispute Resolution. A proposal to fund a computer-assisted decision making laboratory and applications center (to be located at the Georgia Institute of Technology) is currently being considered by

Department of Community Affairs of the State of Georgia.

More specifically, activities which indicate the progress of the Consortium, particularly since receiving the interim grant from the Hewlett Foundation in 1988, are described below.

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from the University of Georgia, joining Dorinda Dallmeyer (Director of the International Program) on the Executive Committee.

Finally, a questionnaire was developed by the Executive Committee and submitted to all faculty identified as interested in the work of the Consortium. This survey was initiated to update knowledge of existing library resources, curricula and other educational resources as well as to clarify primary research interests of participants.

### **C. Research**

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a. Cultural Influences on International Negotiation. In June 1989 Kit Traub completed a bibliography listing books, articles, and other media which examine differences between Japanese and U.S. negotiating styles. This 50-page annotated bibliography, available through the Consortium, will be used in preparation of the International Program's study of U.S.-Japan trade policy dispute resolution.

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e. Management of Conflict in Urban Development Policy. With support from the National Endowment of the Arts, Michael Elliott is conducting case study analyses of six cities: Atlanta, Baltimore, Boston, San Francisco, Savannah and Seattle. The study looks at the impact of increasing interrelationship between the various stakeholders in urban development and the consequent impact on conflict generation and management. The study explores the impact of new techniques of consensus building within the context of urban development policy.

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integration of the European Economic Community in 1992. This conference will examine not only the process of negotiating consensus among EEC members but also the dispute resolution mechanisms put in place to resolve differences between members and non-members after 1992. In addition to the conference, the Monograph Series will publish Strategies for American Companies: How to Do Business in Europe after 1992.

Another forthcoming title in the Monograph Series is Doing Business in South Korea, in which the Korean and American contributors address not only the differences in trade policy between the United States and Korea but also suggest ways of resolving these differences. This book is the result of two Rusk center conferences on this topic.

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This program is designed to engage in research and policy development, assist outside researchers, provide the teaching of international and comparative environmental law, and assist governments, non-governmental organizations, international organizations, and the private sector in all aspects of the law of the international protection of the environment.

Of particular interest to the Consortium, the program will focus not only on the international legal aspects of substantive issues but also on the institutional aspects including the resolution of disputes and the equitable allocation of costs and benefits. In addition to a variety of other public service initiatives, the program will encourage and examine the use of alternative dispute resolution techniques for conflicts involving international environmental law.

At the present time, funding for this program is being sought from government and private sector sources.

*h. Creation of the Decision and Innovation Support Center.* Several members of the Consortium have been active in establishing the Decision and Innovation Support Center at Georgia Tech. The Center is a network of technologies, tools and persons necessary to develop, refine and test computer assisted decision technologies, as well as to study the decision making and group problem solving process that result from their use. The Center will link researchers to computer hardware and software designed for consensus building and innovation support. The consensus building software will be the Plexsys System designed at the University of Arizona, while the innovation software will be the CyberQuest Innovation System designed at Virginia Tech. The systems will reside on networked IBM PS/2 systems.

i. Evaluation of Mediation Efforts in Public Policy Disputes. Efforts to systematically improve the practice of public policy mediation are hampered by the dearth of evaluation data. These data are difficult to obtain because of the complexity and confidentiality of interactions that occur during the mediation. The reconstruction of events has proven difficult because of these difficulties.

To reconstruct a series of complex multi-party negotiations, Michael Elliott is examining video-taped records of public policy negotiations. Such taped data provides a unique opportunity to systematically evaluate interactions and communication patterns within public policy negotiations and should contribute to our understanding of the dynamics of these efforts.

#### **D. Education**

A variety of activities during the past year have embellished the educational resources and contributions of the Consortium. Gregory Bourne and Michael Elliott have trained over two hundred public and private sector decision-makers through a variety of courses related to negotiating and managing public conflicts. In conjunction with these workshops, multi-party training exercises have been developed. These will continue to be tested and refined. Currently, through a grant from National Institute for Dispute Resolution, Elliott and Bourne are developing case materials and training exercises related to growth management and historic preservation. Initiatives are also being taken to develop a training video based on this same project.



In addition to these activities new courses have been developed at Georgia State and Georgia Tech relating dispute resolution to business and construction management issues. As the Consortium is strengthened by financial support, work will begin in earnest to identify a library of resources at each of the three institutions, as well as other area universities. The existing library of training materials and videos will be expanded to support the development of the specialization program, which is one of the primary educational objectives. Initial inquiries have been made to connect the Consortium with *ConflictNet* and other such computer linked resources which can assist Consortium members keep abreast of developments in the field.

The newsletter planned as a major outreach and educational tool will be developed following Hewlett Foundation consideration of our full proposal to publicize the existence, goals and objectives of the Consortium. This will inaugurate efforts to expand visibility and credibility of alternative dispute resolution in the Southeast, and the role of the Consortium in providing institutional and theoretical support for the use of affirmative conflict management techniques in the international, organizational and public policy sectors.

#### **E. Financial Report**

A financial report, prepared on March 20, was sent to the Hewlett Foundation directly by David Welch, Director of the Office of Grants and Contract Accounting. The report notes expenditures of \$17,150 (with \$7,850 of the \$25,000 grant provided by the Hewlett Foundation remaining). Of the amount remaining \$5,000 was earmarked for initiation of the Consortium's project on cross-cultural conflict management, \$2,000 for

travel, and \$500 for publications.

Specifically, the Consortium has initiated a Consortium-wide project on *Transboundary Disputes and the Impact of Cultural Differences on Their Resolution*. The project is designed to provide a unifying theme to one area of research, a theme that will cut across programs and universities. The project is designed to include consultations with researchers and experts outside the Atlanta-Athens area. Following the Foundation's decision to postpone review of our proposal from October to January or April, these consultations were put on hold.